

**A Office of Enterprise Compliance Report - Matrix
November 2005**

Attachment A

	DATE OF ASSIGNMENT	STATUS
1. Personnel Update	Ongoing	<p>Recruitment and selection for the Executive Secretary position is continuing; interviews are being conducted.</p> <p>Chief Compliance Officer (CCO) submitted a draft duty statement for the Compliance Area Manager for Health position to the Health executive staff and the Chief Auditor for review and comment. Recruitment and selection for the Compliance Area Manager for Health is anticipated in the final quarter of 2005.</p>
2. Program Activities	Ongoing	<p>CCO met with Investment senior staff and discussed current compliance activities and future initiatives in the area of investment compliance and met with the new Director of Corporate Governance and provided briefing of compliance activities.</p> <p>"Why Compliance is Important to You" presentation made to Fiscal Services senior staff.</p> <p>Division internal website initiated. Website launch date is projected for December 2005.</p> <p>CCO attended Department of Managed Care presentation on "Costs of Health Plan Benefits."</p> <p>CCO attended Society of Corporate Compliance and Ethics Institute Conference. Topics discussed were Enterprise Risk Management, Ethics and Compliance Assessment tools, and Compliance Officer roles in various industries.</p>

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3. Reporting Significant Non-Compliance Issues	January 2005	CCO review of two other state pension plan reporting formats.
4. Regulatory Review	June 2005	Review of proposed rules, regulations and applicability to CalPERS Investment Office on a monthly basis. Review conducted and no significant items to report for September and October 2005.
5. Compliance Area Manager - Investments	Ongoing	<p>Compliance Area Manager (CAM) is monitoring pre and post execution of trades daily. Weekly reporting on compliance summary to CCO.</p> <p>CAM completed review and training of use of "My State Street" and Bloomberg Investment tools.</p> <p>CAM attended the National Society of Compliance Professionals Conference and the National Regulators Workshop.</p> <p>CCO attended review discussion with Office of Audit Services staff regarding transition of fixed income compliance activities.</p>